

**DECLARATION FOR UTILITY OR
DESIGN PATENT APPLICATION
(37 CFR 1.63)**

☐ Declaration Submitted with Initial Filing OR ☒ Declaration Submitted after Initial Filing (surcharge (37 CFR 1.16(e)) required)

Attorney Docket Number	DURE-009
First Named Inventor	Theeuwes, et al.
COMPLETE IF KNOWN	
Application Number	09/416,379
Filing Date	October 12, 1999
Group Art Unit	3734
Examiner Name	N/A

As a below named inventor, I hereby declare that:

My residence, post office address, and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

Regulation of Drug Delivery Through Flow Diversion

the specification of which:

☐ is attached hereto
OR

☒ was filed on October 12, 1999 as United States Application Number or PCT International Application Number 09/416,379 and was amended on _____ (if applicable).

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment specifically referred to above.

I acknowledge the duty to disclose information which is material to patentability as defined by 37 CFR 1.56.

Insofar as the subject matter of each of the claims of this application are not disclosed in the prior United States or PCT international application in the manner provided by the first paragraph of 35 U.S.C. 112, I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR 1.56 which became available between the filing date of the prior application and the national or PCT international filing date of this application.

I hereby claim foreign priority benefits under 35 U.S.C. 119(a)-(d) or 365(b) of any foreign application(s) for patent or inventor's certificate, or 365(a) of any PCT international application which designating at least one country other than the United States of America, listed below and have also identified below any foreign application(s) for patent or inventor's certificate or any PCT international application(s) having a filing date before that of the application(s) of which priority is claimed.

Prior Foreign Application Number(s)	Country	Foreign Filing Date (MM/DD/YYYY)	Priority Not Claimed	Certified Copy Attached?	
				YES	NO
			— — —	— — —	— — —

I hereby claim the benefit under 35 U.S.C. 119(e) of any United States provisional application(s) listed below.

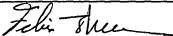
Application Number(s)	Filing Date (MM/DD/YYYY)

I hereby claim the benefit under 35 U.S.C. 120 of any United States application(s), or 365(c) of any PCT international application(s) designating the United States of America, listed below.

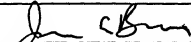
U.S. Parent Application or PCT Parent Number	Parent Filing Date (MM/DD/YYYY)	Parent Patent Number (if applicable)
DIRECT ALL CORRESPONDENCE TO:		
Name	Carol L. Francis	
Address	BOZICEVIC, FIELD & FRANCIS LLP	
Address	285 Hamilton Avenue, Suite 200	
City, State, Zip	Palo Alto, California 94301	
Country	U.S.A.	Telephone 650-327-3400 Facsimile 650-327-3231

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Name of Sole or First Inventor:

Given Name (first and middle [if any])				Family Name or Surname			
Felix				Theeuwes			
Inventor's Signature						Date	12/03/99
Residence: City	Los Altos Hills	State	CA	Country	U.S.A.	Citizenship	Belgium
Post Office Address	27350 Altamont Road						
City	Los Altos Hills	State	CA	Zip	94022	Country	U.S.A.

Name of Second Inventor:

Given Name (first and middle [if any])				Family Name or Surname			
James E.				Brown			
Inventor's Signature						Date	12/03/99
Residence: City	Los Gatos	State	CA	Country	U.S.A.	Citizenship	US
Post Office Address	126 Blueberry Hill Drive						
City	Los Gatos	State	CA	Zip	94022	Country	U.S.A.

POWER OF ATTORNEY BY ASSIGNEE	Attorney Docket	DURE-009
	First Named Inventor	Theeuwes, et al.
	Application Number	09/416,379
	Filing Date	October 12, 1999
	Examiner Name (Group Art)	3734
Title: <i>Regulation of Drug Delivery Through Flow Diversion</i>		

Durect Corporation, assignee of the above-identified application by assignment dated 12/3/99, hereby appoint:

BOZICEVIC, FIELD & FRANCIS LLP

Name	Registration No.	Name	Registration No.
Karl Bozicevic	28,807	Pamela J. Sherwood	36,677
Bret E. Field	37,620	Dianna L. DeVore	42,484
Carol L. Francis	36,513	Paula A. Borden	42,344

as its attorney(s) or agent(s) to prosecute the application identified above, and to transact all business in the Patent and Trademark Office connected therewith.


DIRECT ALL CORRESPONDENCE TO:

Individual Name	Carol L. Francis		
Firm Name	BOZICEVIC, FIELD & FRANCIS LLP		
Address	285 Hamilton Avenue, Suite 200		
City, State, Zip	Palo Alto, California 94301		
Country	U.S.A.		
Telephone	(650) 327-3400	Facsimile	(650) 327-3231

SIGNATURE of Assignee of Record

In accordance with 37 CFR §3.73(b) I hereby certify that I am empowered to act on behalf of the Assignee of the above-identified patent application. The original Assignment is concurrently being forwarded to the Assignment Branch of the U.S. Patent Office for recordation.

I declare that these statements are made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Title 18, United States Code §1001 and that such willful false statements may jeopardize the validity of the above referenced application or any patent resulting from that application.

Name and Company	Jean Liu, Durect Corporation		
Title	Vice President and General Counsel		
Signature		Date	12/3/1999



UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark Office
ASSISTANT SECRETARY AND COMMISSIONER
OF PATENTS AND TRADEMARKS
Washington, D.C. 20231

MARCH 15, 2001

PTAS

BOZICEVIC, FIELD, & FRANCIS LLP
CAROL L. FRANCIS
285 HAMILTON AVENUE
SUITE 200
PALO ALTO, CA 94301

**CORRECTED
NOTICE**

UNITED STATES PATENT AND TRADEMARK OFFICE
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

*SEE
OFF*

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 12/20/1999

REEL/FRAME: 010505/0210
NUMBER OF PAGES: 2

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:

THEEUWES, FELIX

DOC DATE: 12/03/1999

ASSIGNOR:

BROWN, JAMES E.

DOC DATE: 12/03/1999

ASSIGNEE:

DURECT CORPORATION
10240 BUBB ROAD
CUPERTINO, CALIFORNIA 95014-4166

SERIAL NUMBER: 09416379

FILING DATE: 10/12/1999

PATENT NUMBER:

ISSUE DATE:

JACQUELINE MOORE, PARALEGAL
ASSIGNMENT DIVISION
OFFICE OF PUBLIC RECORDS

cc 4/20
DOCKETED

Form PTO-1595 (Modified)

01-31-2000

S. DEPARTMENT OF COMMERCE
Patent and Trademark OfficeRECORDATION
PA

101254116

MRD 12-20-99

To the Honorable Commissioner of Patents and Trademarks: Please record the attached original documents or copy thereof.

1. Name of conveying party(ies):

Felix Theeuwes
James E. BrownAdditional name(s) of conveying party(ies) attached? ☐ Yes ☒ No

3. Nature of conveyance:

☒ Assignment ☐ Merger
☐ Security Agreement ☐ Change of Name
☐ Other:

Execution Date: December 3, 1999

2. Name and address of receiving party(ies):

Name: DURECT Corporation

Internal Address: 10240 Bubb Road

Street Address:

City: Cupertino State: CA ZIP: 95014-4166

Additional name(s) & address(es) attached? ☐ Yes ☒ No

4. Application number(s) or patent number(s): 09/416,379, filed October 12, 1999.

If this document is being filed together with a new application, the execution date of the application is:

A. Patent Application No.(s)

09/416,379

B. Patent No.(s)

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: Carol L. Francis
Street Address: BOZICEVIC, FIELD, & FRANCIS LLP
285 Hamilton Avenue, Suite 200
Palo Alto, California 94301Telephone: (650) 327-3400
Facsimile: (650) 327-32316. Total number of applications and patents involved: 01

7. Total fee (37 CFR 3.41): \$40.00

☒ Enclosed☐ Authorized to be charged to deposit account

8. Deposit Account No. 50-0815

The Commissioner is authorized to charge any underpayment or credit any overpayment to Deposit Account No. 50-0815 with regards to this correspondence.

01/28/2000 DC00ATES 00000137 09416379

01 FC:581

40.00 DP

DO NOT USE THIS SPACE

9. Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

Carol L. Francis

Name of Person Signing

Signature

Date

Total number of pages comprising cover sheet 02

ASSIGNMENT OF APPLICATION (JOINT)

Address to:
Box Assignment
Assistant Commissioner for Patents
Washington, D.C. 20231

Attorney Docket No.	DURE-009
First Named Inventor	Theeuwes, et al.
Application Number	09/416,379
Filing Date	October 12, 1999
Title	Regulation of Drug Delivery Through...
Group Art Unit	3734
Examiner Name	N/A

THIS ASSIGNMENT, by Felix Theeuwes and James E. Brown (hereinafter referred to as the assignors), residing at Los Altos Hills and Los Gatos respectively, witnesses:

WHEREAS, the said assignors have invented certain new and useful improvements in Regulation of Drug Delivery Through Flow Diversion

X for which an application for a United States Patent was filed on October 12, 1999, Application No. 09/416,379.

— for which an application for a United States Patent was executed on _____ and _____

WHEREAS, DURECT Corporation a corporation duly organized under and pursuant to the laws of Delaware, and having its principal place of business at 10240 Bubb Road, Cupertino, California 95014-4166 (hereinafter referred to as the assignee) is desirous of acquiring the entire right, title and interest in and to said invention and said application for Letters Patent of the United States, and in and to any Letters Patent or Patents, United States or foreign, to be obtained therefor and thereon:

NOW THEREFORE, in consideration of One Dollar (\$1.00) and other good and sufficient considerations, the receipt of which is hereby acknowledged, said assignors have sold, assigned, transferred and set over, and by these presents do sell, assign, transfer and set over, unto the assignee, its successors, legal representatives and assigns, the entire right, title and interest in and to the above-mentioned invention, application for Letters Patent, and any and all Letters Patent or Patents in the United States of America and all foreign countries which may be granted therefor and thereon, and in and to any and all divisions, continuations, and continuations-in-part of said application, or reissues or extensions of said Letters Patent or Patents, and all rights under the International Convention for the Protection of Industrial Property, the same to be held and enjoyed by said assignee, for its own use and behoof and the use and behoof of its successors, legal representatives and assigns, to the full end of the term or terms for which Letters Patent or Patents may be granted, as fully and entirely as the same would have been held and enjoyed by the assignors, had this sale and assignment not been made.

AND for the same consideration, said assignors hereby covenant and agree to and with said assignee, its successors, legal representatives and assigns, that, at the time of execution and delivery of these presents, said assignors are the sole and lawful owners of the entire right, title and interest in and to said invention and the application for Letters Patent above-mentioned, and that the same are unencumbered and that said assignors have good and full right and lawful authority to sell and convey the same in the manner herein set forth.

AND for the same consideration, said assignors hereby covenant and agree to and with said assignee, its successors, legal representatives and assigns, that said assignors will, whenever counsel of said assignee, or the counsel of its successors, legal representatives and assigns, shall advise that any proceeding in connection with said invention, or said application for Letters Patent, or any proceeding in connection with Letters Patent for said invention in any country, including interference proceedings, is lawful and desirable, or that any division, continuation or continuation-in-part of any application for Letters Patent or any reissue or extension of any Letters Patent, to be obtained thereon, is lawful and desirable, sign all papers and documents, take all lawful oaths, and do all acts necessary or required to be done for the procurement, maintenance, enforcement and defense of Letters Patent for said invention, without charge to said assignee, its successors, legal representatives and assigns, but at the cost and expense of said assignee, its successors, legal representatives and assigns.

AND said assignors hereby request the Commissioner of Patents to issue said Letters Patent of the United States to said assignee as the assignee of said invention and the Letters Patent to be issued thereon for the sole use and behoof of said assignee, its successors, legal representatives and assigns.

Date 12/3/1999 Name of Inventor Felix Theeuwes
Felix Theeuwes

Date 12/3/99 Name of Inventor James E. Brown
James E. Brown

"Express Mail" mailing label number EU 640 420 237 US. I hereby certify that this document and referenced attachments are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR § 1.10, addressed to: Commissioner for Patents,

MS Patent Application/P.O. Box 1450, Alexandria, VA 22313-1450 on 9/5/03
By: Crystal Susa
Printed: Crystal Susa

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: Theeuwes, et al.

Title: REGULATION OF DRUG DELIVERY THROUGH FLOW DIVERSION

Serial No.: To Be Assigned
Examiner: Unknown

Filing Date: herewith
Group Art Unit: Unknown

Mail Stop Patent Application
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

**CERTIFICATE UNDER 37 C.F.R. §3.73(b),
REVOCATION OF POWER OF ATTORNEY
AND APPOINTMENT OF NEW ATTORNEYS**

Sir:

The undersigned has reviewed all the documents in the chain of title of the above-identified patent application and, to the best of undersigned's knowledge and belief, title is in the assignee identified above.

Durect Corporation, having a principal place of business located at 10240 Bubb Road, Cupertino, CA 95014, certifies that it is the assignee and owner of the entire right, title and interest in, to, and under the invention described and claimed in the above-identified application by virtue of an Assignment recorded at Reel 010505, Frame 0210, hereby revokes all previous powers of attorney and appoints the following patent attorney:

Adam Warwick Bell, D.Phil.

Reg. No. 43,490

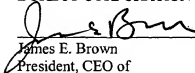
The undersigned (whose title is supplied below) is empowered to act on behalf of the assignee.

I hereby declare that all statements made herein of my own knowledge are true, and that these statements are made with the knowledge that willful false statements, and the like so made, are punishable by fine or imprisonment, or both, under Section 1001, Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

Date: 09/03/03

10240 Bubba Road
Cupertino, CA 95014
Phone: (408)777-1417
Fax: (408)777-3577

DURECT CORPORATION


James E. Brown
President, CEO of
Durect Corporation